

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: P. Zientek et al.

Attorney Docket No.: CASM117201

Application No.: 09/787,603

Filed: March 20, 2001

Title: SECURITY DOCUMENT INCLUDING A NANOPARTICLE-BASED AUTHENTICATION DEVICE

INFORMATION DISCLOSURE STATEMENT

Seattle, Washington 98101

May 22, 2001

TO THE COMMISSIONER FOR PATENTS:

Applicants are aware of the information listed in the attached form that may be material to the prosecution of the above-identified patent application.

1. Copies of the listed patents, publications, and other information are enclosed for the Examiner's use.
2. This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior Application No. _____, filed _____. The references listed on the attached form were submitted to and/or cited by the Patent and Trademark Office in this prior application and, therefore, are not required to be provided in this application.
3. A concise explanation of the relevance of document I.D. No. _____ (which is not in the English language), as presently understood by the individual designated under 37 C.F.R. § 1.56(c) most knowledgeable about its content, is provided in an English abstract appended to said document.
4. This Information Disclosure Statement is being filed concurrently with the above-identified application.
5. Pursuant to 37 C.F.R. § 1.97(b), this Information Disclosure Statement is being filed within three months of the filing date of the national application (other than a CPA), within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, before the mailing date of a first Office Action on the merits, or before the mailing date of a first Office Action after the filing of an RCE.

LAW OFFICES OF
CHRISTENSEN O'CONNOR JOHNSON KINDNESS^{PLLC}
1420 Fifth Avenue
Suite 2800
Seattle, Washington 98101
206.682.8100

6. _____ Pursuant to 37 C.F.R. § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in 37 C.F.R. § 1.97(b) but before the mailing date of a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution, and is accompanied by:

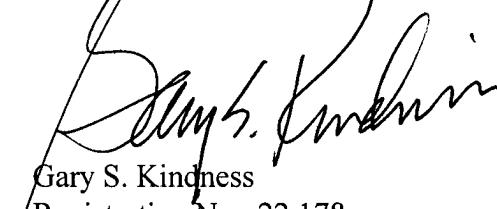
- a. _____ a certification statement as specified in 37 C.F.R. § 1.97(e); or
- b. _____ the submission fee set forth in 37 C.F.R. § 1.17(p). Check No. _____ in the amount of \$180.00 is enclosed.

7. _____ Pursuant to 37 C.F.R. § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution, but before or simultaneous with payment of the issue fee. The Information Disclosure Statement is accompanied by a certification statement as specified in 37 C.F.R. § 1.97(e) and the submission fee set forth in 37 C.F.R. § 1.17(p). Check No. _____ in the amount of \$180.00 is enclosed.

8. X The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17 and 1.18 which may be required during the entire pendency of the application, or credit any overpayment, to Deposit Account No. 03-1740. This authorization also hereby includes a request for any extensions of time of the appropriate length required upon the filing of any reply during the entire prosecution of this application. A copy of this document is enclosed.

Respectfully submitted,

CHRISTENSEN O'CONNOR
JOHNSON KINDNESS^{PLLC}



Gary S. Kindness
Registration No. 22,178
Direct Dial No. 206.695.1702

GSK/PAS:lsj

LAW OFFICES OF
CHRISTENSEN O'CONNOR JOHNSON KINDNESS^{PLLC}
1420 Fifth Avenue
Suite 2800
Seattle, Washington 98101
206.682.8100

INFORMATION CITED BY APPLICANTS THAT MAY BE MATERIAL TO THE
PROSECUTION OF THE SUBJECT APPLICATION

Applicants: P. Zientek et al. Attorney Docket No. CASM117201

Application No.: 09/787,603

Filed: March 20, 2001

Title: SECURITY DOCUMENT INCLUDING A NANOPARTICLE-BASED
AUTHENTICATION DEVICE

U.S. PATENT DOCUMENTS

*Examiner

Initial	ID	Document No.	Date	Name
	U1	5,766,764	06/16/1998	Larry K. Olli et al.
	U2	5,733,480	03/31/1998	Chun D. Lee et al.

FOREIGN PATENT DOCUMENTS

Translation
Provided

*Examiner

Initial	ID	Document No.	Date	Country	Yes	No
	F1	WO 99/07502	18/02/1999	PCT		
	F2	EP 0 827 137 A1	4/3/1998	EP		

OTHER INFORMATION

(Including Author, Title, Date, Pertinent Pages, Etc.)

*Examiner

Initial	ID
	None

Examiner

Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with M.P.E.P. § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

GSK/PAS:lsj

LAW OFFICES OF
CHRISTENSEN O'CONNOR JOHNSON KINDNESS^{PLLC}
1420 Fifth Avenue
Suite 2800
Seattle, Washington 98101
206.682.8100